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|---|--|---|--|---|
| FORM PTO 1390<br>(REV 5-93)   |  | US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY DOCKET NUMBER<br>2006_0413A  |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. §371   |  |   |  | U.S. APPLICATION NO.<br><small>(if known, see 37 CFR 1.5)</small><br>10/573,915 |
| International Application No.<br>PCT/JP2004/016284  |  | International Filing Date<br>October 27, 2004         |  | Priority Date Claimed<br>October 31, 2003                                       |
| <b>Title of Invention</b><br>A PROCESSING LIQUID COATING APPARATUS AND A PROCESSING LIQUID COATING METHOD   |  |   |  |   |
| Applicant(s) For DO/EO/US<br>Mitsuhiro SHIRAKASHI et al.  |  |   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |   |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. §371.<br>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. §371.<br>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).<br>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.<br>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. §371(c)(2))<br>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).<br>b. <input type="checkbox"/> has been transmitted by the International Bureau.<br>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)<br>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. §371(c)(2)).<br>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).<br>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).<br>b. <input type="checkbox"/> have been transmitted by the International Bureau.<br>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<br>d. <input type="checkbox"/> have not been made and will not be made.<br>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19.<br>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)).<br>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).<br><b>Items 11. to 14. below concern other document(s) or information included:</b><br>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.<br>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.<br>13. <input type="checkbox"/> A FIRST preliminary amendment.<br><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.<br>14. <input type="checkbox"/> Other items or information: |  |   |  |   |
| THE COMMISSIONER IS AUTHORIZED<br>TO CHARGE ANY DEFICIENCY IN THE<br>FEES FOR THIS PAPER TO DEPOSIT<br>ACCOUNT NO. 23-0975  |  |   |  |   |

CHECK NO. \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Mitsuhiko SHIRAKASHI et al. : Attorney Docket No. 2006\_0413A  
Serial No. 10/573,915 :  
Filed March 30, 2006 :

A PROCESSING LIQUID COATING APPARATUS  
AND A PROCESSING LIQUID COATING METHOD

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

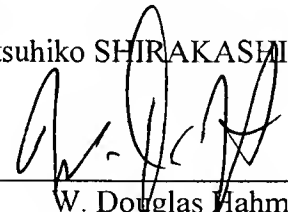
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.
6. ☐ Statement Under 37 CFR 1.704(d)

Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart application, and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Mitsuhiko SHIRAKASHI et al.

By

  
\_\_\_\_\_  
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Receipt date: 09/15/2006

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Sheet 1 of 1

## INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: September 15, 2006

ATTY DOCKET NO.  
2006\_0413ASERIAL NO.  
10/573,915APPLICANT  
Mitsuhiko SHIRAKASHI, et al.FILING DATE  
March 30, 2006

GROUP

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|------|------|-------|----------|-------------------------------|
|                      | AA |                    |      |      |       |          |                               |
|                      | AB |                    |      |      |       |          |                               |
|                      | AC |                    |      |      |       |          |                               |
|                      | AD |                    |      |      |       |          |                               |
|                      | AE |                    |      |      |       |          |                               |
|                      | AF |                    |      |      |       |          |                               |
|                      | AG |                    |      |      |       |          |                               |
|                      | AH |                    |      |      |       |          |                               |
|                      | AI |                    |      |      |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|--|----|--------------------|------|---------|-------|----------|-----------------------|
|  | AJ |                    |      |         |       |          |                       |
|  | AK |                    |      |         |       |          |                       |
|  | AL |                    |      |         |       |          |                       |
|  | AM |                    |      |         |       |          |                       |
|  | AN |                    |      |         |       |          |                       |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|         |    |  |
|---------|----|--|
| Y.T.T./ | AO | Mitsuhiko SHIRAKASHI et al., "SUBSTRATE PROCESSING APPARATUS, SUBSTRATE PROCESSING METHOD, AND SUBSTRATE HOLDING APPARATUS", U.S. Patent Application Serial No. 10/564,980, filed January 18, 2006, which is the national stage of PCT/JP2004/011101, filed July 28, 2004. (Image File Wrapper available.) |
|         | AP |  |
|         | AQ |  |

EXAMINER /Yewebdar T Tadesse/

DATE CONSIDERED

08/26/2009

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.